



41 3621

PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

*I hereby certify that this correspondence is being deposited with the U.S. Postal Service as first class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on September 21, 2004.*

Signature

Applicant : Craig L. Ogg  
Application No. : 09/690,796  
Filed : October 17, 2000  
Title : SECURE AND RECOVERABLE DATABASE FOR ON-LINE VALUE-BEARING ITEM SYSTEM

Grp./Div. : 3621  
Examiner : Salvatore A. Cangialosi

Docket No. : 39477/SAH/S850

**RECEIVED**

SEP 27 2004

**GROUP 3600****INFORMATION DISCLOSURE STATEMENT  
UNDER 37 CFR §§ 1.97(b)**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Post Office Box 7068  
Pasadena, CA 91109-7068  
September 21, 2004

Commissioner:

In compliance with the duty of disclosure under 37 CFR §§ 1.56, 1.97 and 1.98, and in accordance with the provisions in the Manual of Patent Examining Procedure §§ 609 and 707.05(b), enclosed is FORM PTO/SB/08A/B listing the references that are known to applicant. Copies of each of the listed references are enclosed. The filing is timely because it is made during one of the periods described 37 CFR § 1.97 (b).

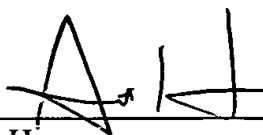
It is respectfully requested that the listed references be considered in the examination of this application and identified on the list of references cited on the patent issuing for this application. Applicant also requests that an initialed copy of FORM PTO/SB/08A/B be entered in the application file and returned to applicant with the next communication from the Office in accordance with MPEP § 609.

**Application No. 09/690,796**

The Commissioner is hereby authorized to charge any fees which may be required by this paper to Deposit Account No. 03-1728. Please show our docket number with any Deposit Account transaction. **A copy of this paper is enclosed.**

Respectfully submitted,

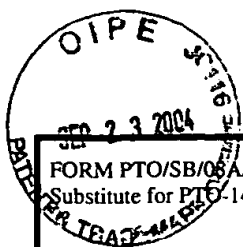
CHRISTIE, PARKER & HALE, LLP

By  \_\_\_\_\_  
Art Hasan  
Reg. No. 41,057  
626/795-9900

SAH/tll

Enclosures:

Copy of IDS  
Form PTO/SB/08A/B, w/references  
TLL PAS585364.1-\*09/21/04 3:59 PM



FORM PTO/SB/08A/B (10-01)  
Substitute for PTO-1449A/B

# INFORMATION DISCLOSURE

## STATEMENT BY APPLICANT

(use as many sheets as necessary)

Attorney Docket Number

39477/SAH/S850

Application Number

09/690,796

Filing Date

October 16, 2000

Applicant(s)

Craig L. Ogg

Group Art Unit

3621

Examiner Name

Salvatore A. Cangialosi

## U.S. PATENT DOCUMENTS

EXAMINER INITIALS	Cite No. <sup>1</sup>	DOCUMENT NUMBER Number - Kind Code <sup>2</sup> (If Known)	PUBLICATION DATE MM-DD-YYYY	NAME OF PATENTEE
		4,447,890	05-08-1984	Duwel et al.
		4,757,537	07-12-1988	Edelmann et al.
		4,933,849	06-12-1990	Connell et al.
		4,949,381	08-14-1990	Pastor
		4,980,542	12-25-1990	Jackson et al.
		5,048,085	09-10-1991	Abraham et al.
		5,058,008	10-15-1991	Schumacher
		5,075,865	12-24-1991	Kawamura et al.
		5,181,245	01-19-1993	Jones
		5,325,519	06-28-1994	Long et al.
		5,377,268	12-27-1994	Hunter
		5,390,251	02-14-1995	Pastor et al.
		5,448,641	09-05-1995	Pintsov et al.
		5,471,925	12-05-1995	Heinrich et al.
		5,561,795	10-01-1996	Sarkar
		5,570,465	10-29-1996	Tsakanikas
		5,598,477	01-28-1997	Berson
		5,600,562	02-04-1997	Guenther
		5,655,023	08-05-1997	Cordery et al.
		5,659,616	08-19-1997	Sudia
		5,668,897	09-16-1997	Stolfo
		5,684,951	11-04-1997	Goldman et al.
		5,729,734	03-17-1998	Parker et al.
		5,742,683	04-21-1998	Lee et al.

RECEIVED

SEP 27 2004

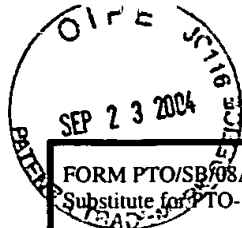
GROUP 3600

EXAMINER  
SIGNATURE

DATE  
CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.pto.gov](http://www.pto.gov) or MPEP 901.4. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English Language Translation is attached.

Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE



FORM PTO/SB/08A/B (10-01)  
Substitute for PTO-1449A/B

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

<b>Attorney Docket Number</b>	<b>39477/SAH/S850</b>
Application Number	09/690,796
Filing Date	October 16, 2000
Applicant(s)	Craig L. Ogg
Group Art Unit	3621
Examiner Name	Salvatore A. Cangialosi

**U.S. PATENT DOCUMENTS**

EXAMINER INITIALS	Cite No. <sup>1</sup>	<u>DOCUMENT NUMBER</u> Number - Kind Code <sup>2</sup> (If Known)	<u>PUBLICATION DATE</u> MM-DD-YYYY	NAME OF PATENTEE
		5,781,438	07-14-1998	Lee et al.
		5,781,634	07-14-1998	Cordery et al.
		5,812,990	09-22-1998	Ryan, Jr. et al.
		5,812,991	09-22-1998	Kara
		5,819,240	10-06-1998	Kara
		5,822,739	10-13-1998	Kara
		5,867,578	02-02-1999	Brickell et al.
		5,930,796	07-27-1999	Pierce et al.
		5,940,383	08-17-1999	Willkie
		5,956,404	09-21-1999	Schneier et al.
		5,978,484	11-02-1999	Apperson et al.
		5,983,227	11-09-1999	Nazem et al.
		6,005,945	12-21-1999	Whitehouse
		6,010,156	01-04-2000	Block
		6,058,384	05-02-2000	Pierce et al.
		6,070,150	05-30-2000	Remington et al.
		6,105,063	08-15-2000	Hayes, Jr.
		6,134,582	10-17-2000	Kennedy
		6,161,139	12-12-2000	Win et al.
		6,164,528	12-26-2000	Hills et al.
		6,223,166 B1	04-24-2001	Kay
		6,233,565 B1	05-15-2001	Lewis et al.
		6,233,568 B1	05-15-2001	Kara
		6,249,777 B1	06-19-2001	Kara et al.

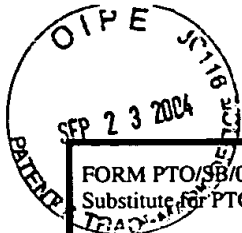
**RECEIVED**  
SEP 27 2004  
**GROUP 3600**

EXAMINER  
SIGNATURE

DATE  
CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.pto.gov](http://www.pto.gov) or MPEP 901.4. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English Language Translation is attached.

Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE



FORM PTO/SB/08A/B (10-01)  
Substitute for PTO-1449A/B

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

<b>Attorney Docket Number</b>	<b>39477/SAH/S850</b>
<b>Application Number</b>	<b>09/690,796</b>
<b>Filing Date</b>	<b>October 16, 2000</b>
<b>Applicant(s)</b>	<b>Craig L. Ogg</b>
<b>Group Art Unit</b>	<b>3621</b>
<b>Examiner Name</b>	<b>Salvatore A. Cangialosi</b>

**U.S. PATENT DOCUMENTS**

EXAMINER INITIALS	Cite No. <sup>1</sup>	DOCUMENT NUMBER Number - Kind Code <sup>2</sup> (If Known)	PUBLICATION DATE MM-DD-YYYY	NAME OF PATENTEE
		6,275,824 B1	08-14-2001	O'Flaherty et al.
		6,286,098 B1	09-04-2001	Wenig et al.
		6,324,523 B1	11-27-2001	Killeen, Jr. et al.
		6,367,013 B1	04-02-2002	Bisbee et al.
		6,385,654 B1	05-07-2002	Tanaka
		6,385,731 B2	05-07-2002	Ananda
		6,408,286 B1	06-18-2002	Heiden
		6,427,021 B1	07-30-2002	Fischer et al.
		6,466,921 B1	10-15-2002	Cordery et al.
		6,636,983 B1	10-21-2003	Levi
		US 2001/0037320 A1	11-01-2001	Allport et al.
		US 2001/0055388 A1	12-27-2001	Kaliski, Jr.
		US 2002/0046193 A1	04-18-2002	Bator et al.
		US 2002/0095383 A1	07-18-2002	Mengin et al.
		US 2003/0130954 A1	07-10-2003	Carr et al.

**RECEIVED**  
SEP 27 2004

**GROUP 3600**

**FOREIGN PATENT DOCUMENTS**

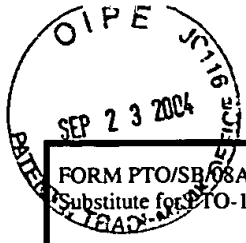
EXAMINER INITIALS	Cite No. <sup>1</sup>	Foreign Patent Document Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (If Known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	T <sup>6</sup> (✓)
		EP 0 360 225 A2	03-28-1990	Pastor	
		EP 0 576 113 A2	12-29-1993	Heinrich, et al.	
		EP 0 604 146 A3	06-29-1994	Herbert	
		EP 0 604 146 B1	11-26-1997	Herbert	
		EP 0 604 148 A3	06-29-1994	Herbert	

EXAMINER  
SIGNATURE

DATE  
CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.pto.gov](http://www.pto.gov) or MPEP 901.4. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English Language Translation is attached.

Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE



<b>FORM PTO/SB/08A/B (10-01)</b> Substitute for PTO-1449A/B  <b>INFORMATION DISCLOSURE</b>  <b>STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)	<b>Attorney Docket Number</b>	<b>39477/SAH/S850</b>
	<b>Application Number</b>	<b>09/690,796</b>
	<b>Filing Date</b>	<b>October 16, 2000</b>
	<b>Applicant(s)</b>	<b>Craig L. Ogg</b>
	<b>Group Art Unit</b>	<b>3621</b>
	<b>Examiner Name</b>	<b>Salvatore A. Cangialosi</b>

FOREIGN PATENT DOCUMENTS					
EXAMINER INITIALS	Cite No. <sup>1</sup>	Foreign Patent Document Country Code <sup>2</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (If Known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	T <sup>6</sup> (✓)
		EP 0 647 925 A2	04-12-1995	Pintsov, et al.	
		EP 0 854 448 A2	07-22-1998	Bresnan, et al.	
		EP 0 892 367 A2	01-20-1999	Bass, et al.	
		GB 2318486 A	04-22-1998	Holloway	
		WO 98/13790 A1	04-02-1998	Brookner, et al.	
		WO 98/57460 A1	12-17-1998	Cordery, et al.	
		WO 00/19382 A1	04-06-2000	Ananda	
		WO 00/70503 A1	11-23-2000	Brookner	
		WO 01/50227 A2	07-12-2001	Mattern, et al.	

OTHER DOCUMENTS		
EXAMINER INITIALS	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article, title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.

TLL PAS584661.1-\*-09/21/04 4:02 PM

**RECEIVED**  
SEP 27 2004  
**GROUP 3600**

<b>EXAMINER SIGNATURE</b>		<b>DATE CONSIDERED</b>	
<small>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at www.pto.gov or MPEP 901.4. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English Language Translation is attached.</small>			

Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE